UNITED STATES PATENT AND TRADEMARK OFFICE

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EXAMINER
SEE, CAROL A

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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on _27 May 2010_.

2a)☒ This action is **FINAL.**   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _6,7,10-13,15-19 and 21_ is/are pending in the application.

　　4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _6,7,10-13,15-19 and 21_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

　　Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

　　Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

　　a)☐ All   b)☐ Some * c)☐ None of:

　　　1.☐ Certified copies of the priority documents have been received.

　　　2.☐ Certified copies of the priority documents have been received in Application No. _____.

　　　3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

　　* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO/SB/08)
　　Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
　　Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application

6)☐ Other: _____.

DETAILED ACTION

Response to Amendment

1.   In response to Applicant's Arguments/Remarks filed on 5/27/2010, Examiner

acknowledges amendment of claims 6, 7, 10-13, 15-19 and 21 and cancellation of claim

22.

2.   Applicant's cancellation of claim 22 renders moot previous rejections which are

hereby withdrawn.

3.   Claims 6, 7, 10-13, 15-19 and 21 are currently pending in this action.

Response to Arguments

4.   Applicant's arguments, see pgs. 9-11 of Applicant's Arguments/Remarks, filed

5/27/2010, with respect to the rejection(s) of claim(s) under 35 USC 103 have been fully

considered but they are not persuasive.

Re Applicant's arguments directed to use of terms "revenue" and "Availability

Control Manager (AVC)" (pgs. 9-11): Zawadzki is cited for showing entry of data

associated with different projects, determining if the data (a desired transaction) will be

entered by applying a rule that sets a requirement for that transaction, as outlined

below. Tanaka is broadly interpreted to show that business entities may incorporate

both project revenues and project expenses and that project revenues can be managed

similarly to project expenses, as shown in Zawadzki. Further, Examiner respectfully

notes that Applicant's use of specific terms – i.e., AVC – fails to further impart

functionality to the claim language, as cited prior art addresses the claimed functionality,

but does not use Applicant's specific language.

Claim Rejections - 35 USC § 103

5.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or
> described as set forth in section 102 of this title, if the differences between the subject
> matter sought to be patented and the prior art are such that the subject matter as a
> whole would have been obvious at the time the invention was made to a person having
> ordinary skill in the art to which said subject matter pertains. Patentability shall not be
> negatived by the manner in which the invention was made.

6.   Claims 6, 7, 10-13, 15-19 and 21 are rejected under 35 U.S.C. 103(a) as being

unpatentable over Zawadzki et al. (U.S. 7,107,268) in view of Tanaka (U.S.

2004/0054562).

As to claim 6, Zawadzki discloses a computer-implemented enterprise

management system, comprising:

a budget ledger database to store a plurality of budget items representing a

budget defined for an organization utilizing an enterprise management application (col.

3, lines 59-65, showing budgets as a project management object, col. 5, line 65 to col.

6, line 21, showing database as part of storage system for project management in

conjunction with col. 62, line 64 to col. 63, line 55, showing a computer system and

storage for implementing the evaluation of amounts to be posted against a budget

having a limit in conjunction with col. 41, lines 52-58, showing budget items);

a budget postings ledger database to store items generated from various

transactions and already admitted to the enterprise management system (col. 4, lines

43-47, showing financial objects in the project management system linked so as to

update items already in the system);

a plurality of Availability Control (AVC) ledgers of an Availability Control system,

each ledger comprising an AVC rule set related to a control object(s), and a database to

store aggregated values of budget items from the budget ledger database and items

from the budget postings ledger database that are operands to the control object(s) in

the AVC rule set of the ledger (col. 4, lines 43-47, showing financial objects in the

project management system linked so as to update items already in the system and

col. 14, lines 26-37, showing relational database tables storing relevant project

information in conjunction with col. 41, lines 51-58, showing use of entered data and

comparison to rule for final entering of that data);

a transaction manager, executing on a processor, configured to:

receive new transactions which include a value from new posted transactions

(figs. 1-2A, col. 4, lines 42-47 (link of new and previous financial objects), col. 40, lines

21-26, col. 41, lines 52-58);

determine whether each transaction affects any control objects of one of said

Availability Control (AVC) ledgers (col. 4, lines 42-47, showing link of new items to

existing items);

an Availability Control manager, executing on the processor, configured to:

receive from the transaction manager an indication of the control object affected

by the new transaction and the value of the new transaction (col. 4, lines 42-47,

showing link of new items to existing);

responsive to receipt of the value posted from a new transaction, accessing an

AVC rule in one of the plurality of AVC ledgers containing the affected control object

(col. 41, lines 52-58, showing for amount added, determining if it will be accepted (by

accessing a rule));

compare previously-posted value retrieved from a source address in the AVC

rule related to the affected control object with a value determined using the value of the

new posted transaction (col. 40, lines 21-26, col. 41, lines 52-58, showing trying to enter

a new amount to a previously posted amount, comparing the new sum to the budget

amount and not allowing the amount to be entered based on that comparison);

determine from the result of the comparison, whether a limit to how much

may be posted for the control object has been exceeded according to a relationship

defined by the AVC rule (col. 41, lines 52-58), and

cause the transaction manager to reject the new transaction based on the

results of the determination (col. 41, lines 52-57).

Zawadzki does not expressly show the above-listed system components

configured to perform the functionality presented above on revenue postings. Tanaka

shows a system configured to monitor expenses and revenue (abstract, para. 0034, fig.

7). It would have been obvious to one of ordinary skill in the art at the time of

Applicant's invention to have modified Zawadzki, in which cash outflows, incorporating some limit, are processed, to incorporate cash inflows, as shown in the enterprise management tool of Tanaka, since it is well known that the business transactions of many entities incorporate both cash inflows and outflows that must be effectively managed to the benefit of said entity.

Further Examiner notes, that as the functionality of claim 6 is addressed by the cited references, the recitation "Availability Control Manager," fails to impart a patentable distinction to the claimed functionality over prior art, and as such is not afforded patentable weight.

As to claim 7, Zawadzki in view of Tanaka shows the computer-implemented enterprise management system of claim 6. Zawadzki further shows an AVC ledger, wherein the aggregated values are generated for executing the AVC rule (col. 4, lines 42-44, showing link between new and existing financial objects for updating and col. 62, line 64 to col. 63, line 55, showing a computer system and storage for implementing the evaluation of amounts to be posted against a budget having a limit). It would have been obvious to one of ordinary skill in the art at the time of Applicant's invention to have modified Zawadzki, in which cash outflows, incorporating some limit, are processed, to incorporate cash inflows, shown in the enterprise management tool of Tanaka, since it is well known that the business transactions of many entities incorporate both cash inflows and outflows that must be effectively managed to the benefit of said entity.

As to claim 10, Zawadzki shows a method, comprising:

determining, by a processor, in response to a proposed posting to an

enterprise management application, whether a calculation of any control objects stored

in one of a plurality of AVC ledgers would use the proposed posting in a calculation (col.

4, lines 42-46, showing link between new and existing financial objects and col. 40, lines

21-26, col. 41, lines 52-58, showing trying to enter a new amount to a previously posted

amount, the determination coming from where the amount is entered, i.e., under which

budget);

wherein each ledger of the plurality of AVC ledgers comprises an AVC rule set

related to at least one of a plurality of control objects, and a database for storing

aggregated values of budget items from a budget ledger database and items from a

budget postings ledger database that are operands to at least one of a plurality of

control object in the AVC rule set of the ledger (col. 4, lines 42-46, showing link between

new and existing financial objects and col. 40, lines 21-26, col. 41, lines 52-58, showing

trying to enter a new amount to a previously posted amount, the determination coming

from where the amount is entered, i.e., under which budget in conjunction with col. 14,

lines 26-37 showing relational database tables storing relevant transaction information);

identifying, by a processor, at least one of the plurality of control objects as a

control object using the proposed posting in a calculation (col. 4, lines 42-46, showing

link between new and existing financial objects and col. 40, lines 21-26, col. 41, lines

52-58, showing trying to enter a new amount to a previously posted amount, the

determination coming from where the amount is entered);

executing, by a processor, AVC rules from the AVC ledger for each identified

control object, the rules testing whether the proposed posting would exceed limits for

the identified control object in the AVC rule set of the AVC ledger (col. 40, lines 21-26,

col. 41, lines 52-58, showing trying to enter a new amount to a previously posted

amount, comparing the new sum to the budget amount and not allowing the amount to

be entered based on that comparison), and

blocking, if any rule is violated by the posting and if the rule identifies an error

as a response thereto, the posting from being admitted (col. 40, lines 21-26, col. 41,

lines 52-58, showing trying to enter a new amount to a previously posted amount,

comparing the new sum to the budget amount and not allowing the amount to be

entered based on that comparison).

Zawadzki does not expressly show the above-listed method steps performed on

revenue postings. Tanaka shows a method to monitor and process revenue (abstract,

para. 0034, fig. 7). It would have been obvious to one of ordinary skill in the art at the

time of Applicant's invention to have modified Zawadzki, in which cash outflows,

incorporating some limit, are processed, to incorporate cash inflows, shown in the

enterprise management tool of Tanaka, since it is well known that the business

transactions of many entities incorporate both cash inflows and outflows that must be

effectively managed to the benefit of said entity.

Further Examiner notes, that as the functionality of claim 10 is addressed by the

cited references, the recitation "Availability Control," fails to impart a patentable

distinction to the claimed method over prior art, and as such is not afforded patentable

weight.

As to claim 11, Zawadzki in view of Tanaka shows the method of claim 10. Zawadzki further shows executing comprising:

retrieving from an AVC database of the AVC ledger containing the identified control object, a postings operand generated from an aggregation of previously-admitted postings values addressed by the control object (col. 41, lines 51-57, showing summing previously admitted values); and

determining whether the postings operand satisfies a test relationship stored in the rule set of the AVC ledger specified for the identified control object (col. 41, lines 51-57, showing summing previously admitted values, and not allowing a new value if that sum exceeds set value).

As to claim 12, Zawadzki in view of Tanaka shows the method of claim 10. Tanaka shows a method to monitor and process revenue (abstract, para. 0034, fig. 7). Zawadzki further shows wherein the executing comprises:

retrieving from an AVC database of the AVC ledger containing the identified control object a postings operand generated from an aggregation of previously-admitted postings values addressed by the control object and from a new posting value (col. 41, lines 51-57, showing summing previously admitted values and a new value), and

determining whether the postings operand satisfies a test relationship stored in the rule set of the AVC ledger specified for the identified control object (col. 41, lines 51-57, showing summing previously admitted values, and not allowing a new value if that sum exceeds set value).

It would have been obvious to one of ordinary skill in the art at the time of

Applicant's invention to have modified Zawadzki, in which cash outflows, incorporating

some limit, are processed, to incorporate cash inflows, shown in the enterprise

management tool of Tanaka, since it is well known that the business transactions of

many entities incorporate both cash inflows and outflows that must be effectively

managed to the benefit of said entity.

As to claim 13, Zawadzki in view of Tanaka shows the method of claim 12.

Zawadzki further discloses storing the postings operand in the database of the AVC

ledger associated with the control object (col. 62, line 64 to col. 63, line 55, showing a

computer system and storage for implementing the invention).

As to claim 15, Zawadzki in view of Tanaka shows the method of claim 10.

Zawadzki further discloses performing the determining, the executing and, if necessary

the blocking for each of a plurality of AVC rule sets related to the identified control

object (col. 40, lines 21-26, col. 41, lines 52-58, showing trying to enter a new amount to

a previously posted amount, comparing the new sum to the budget amount and not

allowing the amount to be entered based on that comparison, which is inclusive of

performing theses actions for a plurality of budgets).

The limitations of claims 16-19 and 21 closely parallel the limitations of claims

10-13 and 15 and, therefore, are rejected under the same rationale. The computer

readable medium is addressed in Zawadzki (col. 62, lines 10-55).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Carol See whose telephone number is (571)272-9742. The examiner can normally be reached on Monday - Thursday 6:45 am - 5:15 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Kramer, can be reached on (571) 272-6783. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/James A. Kramer/
Supervisory Patent Examiner, Art Unit 3693

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